

REQUEST FOR PROPOSAL
Seasoned Entrepreneurs and Technical Executives to Accelerate
Commercialization for the Utah Centers of Excellence Program
Solicitation #RM6075

PURPOSE OF REQUEST FOR PROPOSAL (RFP)

The purpose of this request for proposal is to enter into a contract with a qualified individual to work on a consulting basis to assist one or more of the Centers of Excellence in accelerating the commercialization of technology resident in that Center. It is anticipated that this RFP may result in a contract award to multiple contractors.

Under this RFP the state will offer two different types of engagements. One is for a “business team member” to work the entire fiscal year (July 1, 2006- June 30, 2007) with one or more of the Centers of Excellence. The emphasis of this engagement will be to help accelerate the commercialization of the selected Center’s technologies, develop business and strategic business plans and support and execute business development efforts. Work will be completed by June 30, 2007.

In addition, the Centers of Excellence program is also initializing “pre-proposal” business teams. Under this process, applicants to the program will apply mid-calendar year to be granted a pre-proposal business team. This team will work with the potential Center to help them understand the Centers of Excellence program, self-assess whether the proposing concept is appropriate for the COE program, and, if so, develop a detailed, focused, business oriented COE proposal (for submission in March). All work will be completed before March 2007.

Offerors who respond to this RFP will be considered for either or both of these types of engagements

The Selection committee for this RFP and the Director of the COE Program will assign individuals to either or both of these engagements based on individual qualifications, needs of individual Centers and proposing teams and the needs of the overall program.

This RFP is designed to provide interested individual offerors with sufficient basic information to submit proposals meeting minimum COE requirements, but is not intended to limit a proposal's content or exclude any relevant or essential data. Offerors are at liberty and are encouraged to expand upon the specifications to evidence service capability under any agreement.

BACKGROUND

The mission of the Centers of Excellence is to contribute to the economic growth of the State of Utah by fostering the creation and growth of successful technology related business that create great jobs for Utahns. The State's Center of Excellence program is recruiting individuals to assist in accelerating the commercialization of promising research technologies from Utah universities into the private sector. There are currently 17 funded Centers in the Centers of Excellence program, each of which has technology that has significant potential to strengthen existing Utah companies or launch new firms here in the State, thereby creating new Utah jobs. For more information on the Centers of Excellence Program see <http://goed.utah.gov/COE/index.html>. When the 2006-07 Centers are approved (approximately mid-June), the final list will be posted on the COE website and issued as an addendum to this RFP. More information will also be posted on the COE website at <http://goed.utah.gov/COE/workwithus.html>.

The Centers of Excellence program is a centerpiece of the current administration's commitment to successful commercialization of the technology being developed in Utah's Universities and Colleges, to encourage economic development. The COEP has had a very successful year with the new (2005-06) "Business Team" concept. Business Teams are designed to pair experienced technology executives and entrepreneurs with promising research, and the talented researchers who have created the technology, in order to more successfully spinout well developed new companies led by seasoned management teams or to find successful Utah-based licensees. As part of this, the Business Team member(s) are responsible to the Director of the COEP to deliver a strategy and plan for the successful commercialization of the technology, and to assist in the initial execution of these plans.

This is an exciting and rewarding opportunity for seasoned technology executives and entrepreneurs who are willing to partner with the Principle Investigator(s) and the Centers of Excellence program to shape the future of these promising innovations.

ISSUING OFFICE AND RFP REFERENCE NUMBER

The State of Utah Division of Purchasing is the issuing office for this document and all subsequent addenda relating to it, on behalf of the Governor's Office of Economic Development Centers of Excellence Program. The reference number for the transaction is Solicitation #RM6075. This number must be referred to on all proposals, correspondence, and documentation relating to the RFP.

SUBMITTING YOUR PROPOSAL

Proposals must be received by the posted due date and time. Proposals received after the deadline will be late and ineligible for consideration.

All proposals must be submitted through RFP Depot (<https://www.rfpdepot.com/>). Questions will also be submitted through RFP Depot. Answers will be given via the RFP Depot site.

RFP Depot is a third party vendor contracted with the State of Utah to provide electronic submission support for RFPs. It requires basic registration at their site in order to respond to the RFP, however there is NO COST to respond to this RFP as the State sponsors all State RFPs and pays any costs. The few minutes it takes to register as a vendor replaces the requirement to physically deliver disks and paper copies and will result in savings of time and effort for all parties involved.

Please note that RFP Depot can take as long as 24 hours to activate a vendor's account – so please register in advance before attempting to submit to the RFP.

LENGTH OF CONTRACT

The Contract resulting from this RFP will be for a period of up to one (1) year.

The contract may be extended beyond the original contract period on a year to year basis for up to three (3) additional years at the State's discretion and by mutual agreement.

PRICE GUARANTEE PERIOD

All pricing must be guaranteed for entire term of the contract which will end June 30, 2007. Please specify proposed hourly consulting rate not to exceed \$100 per hour. Consulting budget for a specific Center is not expected to exceed \$25,000 per year, which may be divided up between multiple Business Team members with specific expertise.

STANDARD CONTRACT TERMS AND CONDITIONS

Any contract resulting from this RFP will include, but not be limited to, the State's standard terms and conditions.

QUESTIONS

All questions must be submitted through RFP Depot (<https://www.rfpdepot.com/>). Answers will be given via the RFP Depot site.

DISCUSSIONS WITH OFFERORS (ORAL PRESENTATION)

An oral presentation, telephone discussion, or face to face meeting by an offeror may be required to evaluate the potential fit with one or more Centers of Excellence will be required of the top offerors. Oral presentations will be scheduled after the submission of proposals. Oral presentations will be made at the offeror's expense (if any).

PROTECTED INFORMATION

The Government Records Access and Management Act (GRAMA), Utah Code Ann., Subsection 63-2-304, provides in part that:

the following records are protected if properly classified by a government entity:

(1) trade secrets as defined in Section 13-24-2 if the person submitting the trade secret has provided the governmental entity with the information specified in Section 63-2-308 (Business Confidentiality Claims);

(2) commercial information or non-individual financial information obtained from a person if:

(a) disclosure of the information could reasonably be expected to result in unfair competitive injury to the person submitting the information or would impair the ability of the governmental entity to obtain necessary information in the future;

(b) the person submitting the information has a greater interest in prohibiting access than the public in obtaining access; and

(c) the person submitting the information has provided the governmental entity with the information specified in Section 63-2-308;

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(6) records the disclosure of which would impair governmental procurement proceedings or give an unfair advantage to any person proposing to enter into a contract or agreement with a governmental entity, except that this Subsection (6) does not restrict the right of a person to see bids submitted to or by a governmental entity after bidding has closed;

GRAMA provides that trade secrets, commercial information or non-individual financial information may be protected by submitting a Claim of Business Confidentiality.

To protect information under a Claim of Business Confidentiality, the offeror must:

1. provide a written Claim of Business Confidentiality *at the time the information (proposal) is provided to the state*, and
2. include a concise statement of reasons supporting the claim of business confidentiality (Subsection 63-2-308(1)).
3. submit an electronic “redacted” (excluding protected information) copy of your proposal response. Copy must clearly be marked “Redacted Version.”

A Claim of Business Confidentiality may be appropriate for information such as client lists and non-public financial statements. Pricing and service elements may not be protected. An entire proposal may not be protected under a Claim of Business Confidentiality. The claim of business confidentiality must be submitted with your proposal on the form which may be accessed at:

<http://www.purchasing.utah.gov/contractinfo/ConfidentialityClaimForm.doc>.

Include the contents of this document with your resume in PDF format and upload during the RFP response process at RFP Depot.

To ensure the information is protected, the Division of Purchasing asks the offeror to clearly identify in the Executive Summary and in the body of the proposal any specific information for which an offeror claims business confidentiality protection as "PROTECTED".

All materials submitted become the property of the state of Utah. Materials may be evaluated by anyone designated by the state as part of the proposal evaluation committee. Materials submitted may be returned only at the State's option.

DETAILED SCOPE OF WORK

Individuals recruited under this solicitation will work with a specific Center of Excellence at one of Utah's colleges or Universities to develop and begin to implement a successful commercialization or "go to market" strategy and plan. To accomplish this, the successful offeror (individual) will work with the Director of the COEP, the Principle Investigator(s) of the Center and any assigned Technology Commercialization Office personnel to assist the Center of Excellence on a consulting basis in a variety of key commercialization activities including, but not limited to:

- Evaluation of commercial potential of key technologies
- Evaluation of existing business or commercialization plans with a report to the PI (Principle Investigator), TCO (University Technology Commercialization Office) and Director of the Centers of Excellence Program
- Evaluation of specific potential markets for the Center technologies including
 - Market size analysis, customer analysis, channel analysis
- Creation of a business plan
- Development of viable "go to market" strategies and tactics
- Exploratory business development and sales
- Establishment of strategic contacts and potential business partners
- Manufacturability and manufacturing strategy analysis
- Assistance in development manufacturing contacts and preparing for commercial manufacturing
- Ability to assist with Federal business development and contract management or the creation and submission of SBIR/STTR proposals
- Assistance with preparation to spin out a new company or license the technology to an existing commercial entity
- Development of plan to raise necessary capital and/or development of sales/business development plan leading to cash flow neutral/positive spinout.

PROPOSAL REQUIREMENTS AND INDIVIDUAL QUALIFICATIONS

In order to further increase the success of commercialization of the technology emerging from the Centers of Excellence program, the program is interested in individuals with the following business backgrounds to assist with these efforts to create great companies and jobs within the State of Utah. It is hoped that such individuals may develop an interest in personally participating in the spinout of the technologies that they are assisting.

- Successful serial entrepreneurs
- Members of the executive team of successful entrepreneurial ventures
- Seasoned executives in active technology commercialization (technical, marketing, business, sales, finance)

Desired Educational Background includes:

- Bachelor's degree in a technical field is strongly preferred
- Advanced degree in Business preferred

Desired Experience:

- Minimum of 10 years of experience in business and technology commercialization ("go to market experience") is preferred
- Extensive experience in technical work with additional experience in business and technology commercialization may acceptable
- Recent experience in taking products and new technologies to market is strongly preferred
- Experience as an entrepreneur or part of an entrepreneurial team (early stage) is strongly preferred

Required Areas of Technical / Technology Business Expertise

All candidates must have experience or background in one or more of the following technical areas or related areas. Demonstrated technical background or business experience in a technology industry is REQUIRED for evaluation under this RFP.

Offerors will select up to FOUR (4) areas of interest on a separate web form as part of the RFP response. They will be asked to list 3 key bullet points highlighting their experience relevant to the area of interest. No offeror will be considered for more than 4 areas of interest. Offerors will be able to select either a “group” such as “Aerospace and Airborne Commercial Systems” or a specific topic under a group such as “Advanced wireless and Airborne communications systems” as one of their 4 areas of Interest.

Aerospace and Airborne Commercial Systems

- Unmanned Vehicle Technologies / UAVs /Autonomous Systems
- Advanced wireless and airborne communications systems
- Advanced military communications systems

Materials/Manufacturing/Chemical Processes

- Manufacturing control and process technology
- Fine Particle Separation and sorting for highly controlled applications
- Advanced Material Sciences – especially in high wear markets (machining, mining, drilling, military applications)
- Mining applications for tools and environmental managements solutions
- Nanosize Powders – especially with market experience in applications for these materials
- Thermal management systems and materials for both high performance and mid-range applications

Environmentally-related technologies

- Environmental remediation technologies especially in mining applications and compromised environments

Energy-related technologies

- Solar systems, biofuels generation, closed system design and economic analysis

Software

- Advanced Computer Graphics Systems
 - CAD applications, film animation, scientific modeling, system and product modeling
- Computer Game Market and synthetic environments
- “Serious Gaming” (educational and training concepts delivered in a game like environment)
- Electronic Education tools for consumers

- Web-based Commerce for consumers
- Web-tools for health and human services organization, delivery of services by State and Federal governments, delivery of employee benefits information and management
- Open Source software with experience developing business models and solutions based on open source systems

Networking/Communications

- Advanced wireless communications
- MIMO (multiple antenna) communications systems
- Consumer wireless data (i.e. Wi-fi, Wi-max etc) and wireless voice/data systems (i.e. cell phone market)

Electronics and Systems

- Advanced Acoustical engineering and sound management systems
- Consumer theater systems and audio systems, high end professional audio systems
- Car audio systems and cab quieting systems
- Signal processing and digital communications
- Organic LEDs and related systems and markets
- LADAR/LIDAR and imaging (see also Software: Computer Game Market and synthetic environments)

Federal Sales Capabilities

- Experience working with companies delivering solutions to the Federal market, especially into the DoD and DHS markets

Life Sciences

- Therapeutic biomaterials
- DNA Analysis and related technologies
- Microfluidics and Microarrays – devices, systems, solutions with particular emphasis on business development and sales strategies
- Cell and tissue processing, banking and distribution and tissue engineering

PROPOSAL RESPONSE FORMAT

1. **RFP Cover Sheet.** The State's Request for Proposal form completed online at RFP Depot
2. **The Qualification Assessment Form** assists the Office in evaluating the relevant skills and experience of each offeror as an entrepreneur and seasoned business executive. A copy is attached for your reference and preparation in advance. Answers to this questionnaire will be submitted via a web form.
3. **Prioritized List of Areas of Interest:** A second web form will capture specific work experience and a Prioritized List of Areas of Interest, related directly to one of more of the Centers of Excellence for 2006-07. This will be a list in priority order up to 4 areas of Expertise (from the list of Required Areas of Technical / Technology Business Expertise listed above) for which the offeror would like to be considered. Under each selected area of interest entered on the web form, list 3 bullets describing related relevant experience such as name of company/product, relevant customers. etc. It is expected that no offeror will work with more than two (2) different Centers and most successful offerors will work with one (1) Center.
4. **Contract Details Form:** this web form will collect the following additional required information
 - A. **Executive Summary.** The one or two paragraph executive summary is to briefly describe the offeror's proposal and qualifications. This summary should highlight the major experience that the offeror has in the active commercialization of new technologies. This summary might include highlights of past entrepreneurial ventures, outline of specific experience as an executive in the technology industry delivering new products to market, and should highlight the specific industries/markets in which the offeror has particular expertise
 - B. **Cost.** Please specify your proposed hourly consulting rate not to exceed \$100 per hour. The expected total Business Team budget for a specific Center is not expected to exceed \$25,000 per year, which may be divided up over multiple consultants with specific expertise. The total Business Team budget allocated by the COEP will also include any required travel and mileage reimbursement to establish or begin implementing the Center's commercialization strategy and plan.
 - C. A detailed resume or C.V. highlighting specific relevant areas of experience and successes in bringing new products and technologies to market as well as entrepreneurial and startup/early stage experience. This document must be in PDF format and will be uploaded to the online electronic submission system. (Note, if any indication of confidentiality is required, the appropriate form

should be included with the resume and uploaded here – see <http://www.purchasing.utah.gov/contractinfo/ConfidentialityClaimForm.doc>)

D. Indication of Current Employment and available time (per week). Individuals who are part of the COEP Business Teams must be able to devote sufficient time to develop a successful plan and begin implementation (up t 5 hours per week for the entire year). However, it is acknowledged that some individuals with particular expertise may be currently employed on a full time basis at another firm or organization, but may be available to assist on a COEP Business Team on a limited basis. Indicate Current Employment Status (full time, part time, self-employed/consultant, or retired/unemployed) on the same page as Cost. Please indicate estimated available time (per week). If full time with another organization, verification of no-conflict, permission to consult or other documentation from offeror's current employer may be required at the discretion of the state and such an arrangement must be approved by the Director of the COEP.

Offeror must be available for some Business Team Meetings during regular business hours to accommodate the schedule of the Principle Investigators, TCOs and the Director.

Note: Full time Employees of the State of Utah, or Full or Part time employees of a University Technology Commercialization Office are not eligible for consideration under this RFP due to potential conflicts of interest. Employees of a company which has licensed a COE supported technology or that is in negotiation to license a COE supported technology are not eligible to work with THAT Center of Excellence under this RFP. They may be considered for other Centers at the discretion of the Director and subject to other requirements, such as available time, conflicts etc.

PROPOSAL EVALUATION CRITERIA

A committee will evaluate proposals against the following weighted criteria.
Each area of the evaluation criteria must be addressed in detail in the proposal.

<u>WEIGHT</u>	<u>EVALUATION CRITERIA</u>
25 %	Demonstrated entrepreneurial/early stage experience, educational background and overall experience
15 %	.Demonstrated experience in the functions listed under the Scope of Work
25%	Demonstrated experience and expertise in one or more required industries consistent with the list of <u>Required Areas of Technical / Technology Business Expertise</u>
25 %	Oral presentation, telephone discussion, or face to face meeting to evaluate the potential fit with one or more Centers of Excellence.
10 %	Cost

Sample: Qualification Assessment Form (to be completed and submitted online at RFP Depot as part of the online submission process)

1. Demonstrated entrepreneurial/early stage experience, desired educational background and overall experience (25 points possible)	Points Possible	Check Boxes
Have you ever founded and led (as Pres/CEO) a technology-based startup Firm name, Time Frame, Web address (if available) ----- -----	Yes -5 No - 0	<input type="checkbox"/> <input type="checkbox"/>
Have you ever been part of a founding team (received founders shares) of a technology-based startup OR have you been part of the executive team of a very early stage company – at the VP or CxO level while raising angel money or Series A or B rounds of funding (If you were the CEO or founder, also select yes here) Firm name, Time Frame, Web address (if available) ----- -----	Yes -5 No - 0	<input type="checkbox"/> <input type="checkbox"/>
Have you ever taken a new technology to market (i.e. in a new or nascent category or significant innovation in an existing category), as a BUSINESS PERSON (marketing, sales, Business management) Product and Firm name ----- -----	Yes -4 No - 0	<input type="checkbox"/> <input type="checkbox"/>
Have you ever taken a new technology to market (i.e. in a new or nascent category or significant innovation in an existing category, in a TECHNICAL ROLE (engineer, project lead, technical management)? Product and Firm name ----- -----	Yes -1 No - 0	<input type="checkbox"/> <input type="checkbox"/>
Do you have a Bachelor's and/or Master's degree in a technical field? Field / Degrees----- From which school? ----- Year of Graduation? -----	Yes -2 No - 0	<input type="checkbox"/> <input type="checkbox"/>
Do you have an MBA or Masters of Science in Business ? Degree ----- From which school? ----- Year of Graduation? -----	Yes -2 No - 0	<input type="checkbox"/> <input type="checkbox"/>
Do you have a PHD degree in a technical field? Field----- From which school? ----- Year of Graduation? -----	Yes -1 No - 0	<input type="checkbox"/> <input type="checkbox"/>
How many years of work experience do you have in business and technology commercialization	0-5 = 1 5-10 = 2 10+ = 5	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2. Demonstrated experience in the areas listed under the Scope of Work (list of Required Areas of Technical / Technology Business Expertise) (15 points possible)		
Have you ever developed a “go to market” strategy and plan for a new product? (i.e. target customer, competitive analysis, channel strategy, partner strategies etc) Product and Firm name -----	Yes -5 No - 0	<input type="checkbox"/> <input type="checkbox"/>

<p>-----</p> <p>-----</p>		
<p>Have you ever worked in business development, or sales or channel development for the introduction of a new technology?</p> <p>Product and Firm name -----</p> <p>-----</p> <p>-----</p>	<p>Yes -3</p> <p>No - 0</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>Have you ever helped developed manufacturing and strategic partners for a new technology</p> <p>Product and Firm name -----</p> <p>-----</p> <p>-----</p>	<p>Yes -1</p> <p>No - 0</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>Have you ever worked in Federal sales or developed products/solutions for Federal customers?</p> <p>Product and Firm name and Agencies-----</p> <p>-----</p> <p>-----</p>	<p>Yes -1</p> <p>No - 0</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>Have you ever crafted and executed a deal to license a technology to an existing commercial company?</p> <p>Product and Firm name -----</p> <p>-----</p> <p>-----</p>	<p>Yes -2</p> <p>No - 0</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
<p>Have you ever raised capital and/or bootstrapped a company from zero or nearly zero revenues to cash flow neutral</p> <p>Firm name, Time Frame, Web address (if available) -----</p> <p>-----</p> <p>-----</p> <p>Briefly Describe your Strategy/Approach and whether it was successful or not -----</p> <p>-----</p> <p>-----</p>	<p>Yes -3</p> <p>No - 0</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p>

**Seasoned Entrepreneurs and Technical Executives to Accelerate
Commercialization for the Utah Centers of Excellence Program**

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RFP EVALUATION SCORESHEET

Firm Name:_____.

Evaluator: _____.

Date: _____.

Score will be assigned as follows:

0 = Failure, no response

1 = Poor, inadequate, fails to meet requirement

2 = Fair, only partially responsive

3 = Average, meets minimum requirement

4 = Above average, exceeds minimum requirement

5 = Superior

		Score	Weight (0-5)	Points
1. Demonstrated entrepreneurial/early stage experience, desired educational background and overall experience (From Qualification Assessment Form)	25 points possible	----	----	
2. Demonstrated experience in the functions listed under the Scope of Work	15 points possible	----	----	
3. Demonstrated experience and expertise in one or more required industries consistent list of Required Areas of Technical / Technology Business Expertise	25 points possible		X 5	
4. Oral presentation, telephone discussion, or face to face meeting to evaluate the potential fit with one or more Centers of Excellence.	25 points possible		X5	
5. Cost	10 points possible	---	---	* Inserted by Purchasing
TOTAL EVALUATION POINTS	(100 points possible)		Total	

* Purchasing will use the following cost formula: The points assigned to each offerors cost proposal will be based on the lowest proposal price. The offeror with the lowest Proposed Price will receive 100% of the price points. All other offerors will receive a portion of the total cost points based on what percentage higher their Proposed Price is than the Lowest Proposed Price. An offeror whose Proposed Price is more than double (200%) the Lowest Proposed Price will receive no points. The formula to compute the points is: Cost Points x (2- Proposed Price/Lowest Proposed Price).